

12.0 Information Management

12.1 Rocky Flats Site Records

The Rocky Flats project generated both records and non-records. Records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of data in them. In contrast, non-records include U.S. Government-owned informational materials excluded from the legal definition of records or not meeting the requirements of that definition. Non-records include extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Examples of non-records include:

- Copies of documents/correspondence kept for convenience and/or to manage work;
- Working and pre-decisional drafts created for team review/comment;
- Duplicates, drafts, and extra copies of documents;
- Correspondence and other items of short-term value that have no further value after an action has been completed; and
- Library materials, publications, and the like kept for reference.

The DOE-LM office administers all Site records generated throughout the Site's pre- and post-closure existence.

Site-specific post-closure records are generated as required by the CAD/ROD, signed in September 2006, or RFLMA, signed in March 2007. In addition to these records, DOE Orders require daily activity records such as H&S, procurement, office management, and so forth.

All records, hard copy and electronic, generated at Rocky Flats are subject to the retention periods established by the National Archives and Records Administration (NARA) General Records Schedules and/or NARA-approved DOE Administrative and Program records retention schedules. Temporary (i.e., nonpermanent) records having a potential use for epidemiological (long-term health) studies, litigation, and/or other requirements are subject to moratoriums that preclude destruction authorized by the schedules. Records determined to have permanent value are transferred to NARA in accordance with those same schedules.

The Rocky Flats records program is administered in accordance with the following directives:

- 36 CFR Parts 1220-1238, NARA;
- 44 U.S. Code (USC), Chapters 29, 31, and 33;
- LMS/POL/S04327, *Records Management Manual*;
- LMS/PRO/S04345, *Records Management Desk Instructions*; and
- LMS/POL/S04320, *Quality Assurance Manual*.

12.2 AR and Post-Decision Record

12.2.1 Administrative Record

An AR is a collection of documents that establishes the basis for the selection and performance of environmental removal and remedial actions at a closure site. An AR File may contain correspondence, results of the RI/FS, the Record of Decision (ROD), and public comments. An AR File may also consist of a public portion that includes documents available to the public and any stakeholders, and a confidential portion that includes documents that may be restricted from release due to the sensitive information they contain.

NOTE: If new information is received after a ROD is approved that could affect the implementation of the remedy or indicate that reassessment of the remedy is necessary, the lead agency must respond to this information and place all comments in the AR. This is necessary if comments contain significant information, the new information is not contained elsewhere in the AR, it was not possible to submit the information during the public comment period, or the new information supports the need to significantly alter the remedial action. The type of documentation required for a post-ROD change depends on the extent of the change. A minor change requires a memo or note. A significant change requires an explanation of major differences. A fundamental change requires a ROD amendment.

The Rocky Flats AR has been formally closed. Any addition to the AR must be approved by the DOE-LM Site manager.

12.2.2 Post-Decision Record

The Rocky Flats Post-Decision Record consists of records required by the CAD/ROD or RFLMA after approval of the CAD/ROD, particularly surveillance and monitoring documentation that supports the long-term activity requirements of the CAD/ROD. The Post-Decision Record is maintained in conjunction with the AR, but all post-decision records are flagged with the “PD” identifier to distinguish them from the AR documents. Post-decision documents include, but are not limited to:

- Periodic reports on Site surveillance and maintenance activities;
- Contact records;
- Communications with the regulatory agencies including e-mails and correspondence;
- Meeting minutes from public meetings;
- Newspaper advertisements; and
- RFLMA compliance documents.

The Post-Decision Record is available to the public in the same formats and accessibility requirements as the AR.

12.3 Records Maintenance

Active hard-copy and electronic records are maintained by the Rocky Flats office. Hard-copy records are tracked in the DOE-LM Records Management “Hummingbird” database. When no longer needed for daily activity, these records become inactive and are archived at the Denver, Colorado, Federal Records Center.

Electronic records are entered and maintained in the DOE-LM Records Management Hummingbird database. When no longer needed for daily activity, they are designated as “inactive” and maintained in the database.

Newly generated records are managed in accordance with the annotated file plan located on the Rocky Flats RF-Share drive.

12.3.1 Records Access

Access to publicly available Rocky Flats records (AR and post-decision documents) is via the LM website at http://www.lm.doe.gov/land/Sites/co/rocky_flats/rocky.html

12.4 Records Disaster Prevention, Mitigation, and Recovery

Records disaster prevention, mitigation, and recovery are addressed in the DOE-LM *Records Disaster Prevention, Mitigation, and Recovery Response Handbook* (DOE 2008b). This manual provides procedures and guidelines for use at all LM offices and sites. Responsible individuals are designated and contact information for these individuals is provided in the manual.

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